

01-03-00

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**UTILITY PATENT APPLICATION TRANSMITTAL**

Submit an original and a duplicate for fee processing  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

**ADDRESS TO:**

**Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231**

Attorney Docket No. 99,853  
First Named Inventor Kaminsky, Ross G.  
Express Mail No. EL007257893US  
Total Pages 44

**APPLICATION ELEMENTS**

1. ☒ Transmittal Form with Fee
2. ☒ Specification (including claims and abstract) [Total Pages 31]
3. ☒ Drawings [Total Sheets 7]
4. ☒ Oath or Declaration [Total Pages 2]
  - a. ☒ Newly executed
  - b. ☐ Copy from prior application

**[Note Boxes 5 and 17 below]**

  - i. ☐ Deletion of Inventor(s) Signed statement attached deleting inventor(s) named in the prior application
5. ☐ Incorporation by Reference: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program
7. ☐ Nucleotide and/or Amino Acid Sequence Submission
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy
  - c. ☐ Statement verifying above copies

**ACCOMPANYING APPLICATION PARTS**

8. ☐ Assignment Papers
9. ☒ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)
  - ☐ PTO-1449 Form
  - ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (Should be specifically itemized)
14. ☐ Small Entity Statement(s)
  - ☐ Enclosed
  - ☐ Statement filed in prior application; status still proper and desired
15. ☐ Certified Copy of Priority Document(s)
16. ☐ Other:

17. **If a CONTINUING APPLICATION**, check appropriate box and supply the requisite information:  
☐ Continuation ☐ Divisional ☐ Continuation-in-part of prior application Serial No.

**APPLICATION FEES**

<b>BASIC FEE</b>				\$690.00
<b>CLAIMS</b>	<b>NUMBER FILED</b>	<b>NUMBER EXTRA</b>	<b>RATE</b>	
Total Claims	30 - 20 =	10	x \$18.00	\$180.00
Independent Claims	4 - 3 =	1	x \$78.00	\$78.00
<input type="checkbox"/> Multiple Dependent Claims(s) if applicable				+\$270.00
Total of above calculations =				\$948.00
Reduction by 50% for filing by small entity =				\$( )
<input type="checkbox"/> Assignment fee if applicable				+ \$40.00
TOTAL =				\$948.00




## UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 99,853

18. ☒ Please charge my Deposit Account No. 13-2490 in the amount of \$258.00.
19. ☒ A check in the amount of \$690.00 is enclosed.
20. The Commissioner is hereby authorized to credit overpayments or charge any additional fees of the following types to Deposit Account No. 13-2490:
- a. ☒ Fees required under 37 CFR 1.16.
  - b. ☒ Fees required under 37 CFR 1.17.
  - c. ☒ Fees required under 37 CFR 1.18.
21. ☒ The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 13-2490 for any fee that may be due in connection with such a request for an extension of time.

## 22. CORRESPONDENCE ADDRESS

Name	McDonnell Boehnen Hulbert & Berghoff
Address	32 <sup>nd</sup> Floor, 300 South Wacker Drive
City, State, Zip	Chicago, Illinois 60606
23. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED	
Name	Robert J. Irvine III
Signature	
Date	December 30, 1999

UTILITY (Rev. 11/18/97)



**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**  
**(NEW PATENT APPLICATION)**

Express Mail No. EL007257893U

Deposited 12/30/99



I hereby certify that the attached correspondence, identified below, is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" under 37 CFR § 1.10 on the date indicated above and is addressed to the Asst. Commissioner for Patents, Box Patent Application, Washington, DC 20231.

By: Rafael Rivera  
(person actually depositing)

Patent Application of: Kaminsky, Ross G. et al.

Title: Automated Trading Exchange System Having Integrated Quote Risk Monitoring And Integrated Quote Modification Services

☒ Patent Application ( 31 pages, including claims)

☒ Drawings ( 2 sheets)

☒ Postcard

☒ Transmittal Letter

☒ Check (\$690.00)

☐ Information Disclosure Statement

☐ Small Entity Form

☐ Preliminary Amendment

☐ Declaration and Power of Attorney

Attorney Docket No.: 99,853



12/30/99  
Jc682 U.S. PTO

PATENT

Jc515 U.S. PTO  
09/475534  
12/30/99

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No99,853. )

In the Application of: Kaminsky, et al.	)	
	)	
	)	
	)	Before the Examiner: to be assigned
Serial No.: to be assigned	)	
	)	
Filed: to be assigned	)	
	)	Group Art Unit: to be assigned
For: Automated Trading Exchange System Having	)	
Integrated Quote Risk Monitoring and Integrated	)	
Quote Modification Services	)	

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Asst. Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

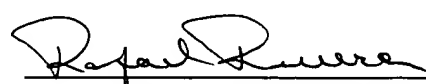
Dear Sir:

"Express Mail" Mailing Label Number EL007257893US

Date of Deposit 12/30/99

- |                   |     |  |
|-------------------|-----|--|
| Attached Paper(s) | (1) | Transmittal Letter                       |
|                   | (2) | Specification and Drawings               |
|                   | (3) | Filing Fee Check                         |
|                   | (4) | Express Mail New Application Certificate |

I hereby certify that the attached paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to The Asst. Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

  
\_\_\_\_\_  
(person actually depositing)